

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor: Thomas J. Daley et al.  
Filing Date: January 29, 2004  
For: SYSTEM AND METHOD FOR CONTROLLING THE  
DISCLOSURE OF A TRADING ORDER

Mail Stop Patent Application  
Commissioner of Patents  
PO Box 1450  
Alexandria, VA 22313-1450

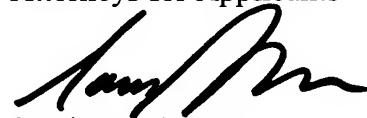
Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. No representation is made that a search has been made, that the references are material to the patentability of the present application, or that the references qualify as prior art.

Respectfully submitted,

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<b>PTO-1449</b> <b>Information Disclosure Citation</b> <b>In an Application</b>		Application No. <b>Unknown</b>		Applicant(s) <b>Thomas J. Daley et al.</b>	
		Docket Number <b>069547.0174</b>	Group Art Unit <b>Unknown</b>	Filing Date <b>January 29, 2004</b>	

**U.S. PATENT DOCUMENTS**

		<b>DOCUMENT NO.</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>FILING DATE</b>
A							
B							
C							
D							
E							
F							
G							
H							
I							

**FOREIGN PATENT DOCUMENTS**

		<b>DOCUMENT NO.</b>	<b>DATE</b>	<b>COUNTRY</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>TRANSLATION</b>	
							<b>YES</b>	<b>NO</b>
J								
K								
L								
M								

	<b>DOCUMENT (Including Author, Title, Source, and Pertinent Pages)</b>	<b>DATE</b>
N	Patent Pending Application entitled, "System and Method for Routing a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0163, 64 pages including drawings	filing date January 29, 2004
O	Patent Pending Application entitled, "System and Method for Routing a Trading Order According to Price," by Thomas J. Daley et al., attorney docket no. 069547.0173, 72 pages including drawings	filing date January 29, 2004
P	Patent Pending Application entitled, "System and Method for Avoiding Transaction Costs Associated with Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0175, 65 pages including drawings	filing date January 29, 2004
Q	Patent Pending Application entitled, "System and Method for Matching Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0176, 74 pages including drawings	filing date January 29, 2004
R		

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

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